

DOCUMENT RESUME

ED 108 606

IR 002 117

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 TITLE Archives Organization and Procedures.
 INSTITUTION Southwest Regional Laboratory for Educational Research and Development, Los Alamitos, Calif.
 REPORT NO SWRL-TN-4-72-10
 PUB DATE 14 Nov 72
 NOTE 38p.

EDRS PRICE MF-\$0.76 HC-\$1.95 PLUS POSTAGE
 DESCRIPTORS *Archives; Data Processing; Documentation; *Indexing; Information Dissemination; Information Processing; *Information Retrieval; Information Sources; Information Storage; Information Systems; Microfilm; Program Descriptions; *Research and Development Centers; Resource Materials
 IDENTIFIERS *Archive Index

ABSTRACT

A review of the procedures and organization of the Southwest Regional Laboratory Archives is presented, including the selection, preparation, and processing of materials; updating and the publication of the index; and the means used for quick retrieval of information. The Archive Index is appended, as well as a sample of the Archival Routing Sheet. (SK)

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SOUTHWEST REGIONAL LABORATORY TECHNICAL NOTE

DATE: November 14, 1972

NO: TN 4-72-10

ARCHIVES ORGANIZATION AND PROCEDURES

William F. Coulton

ABSTRACT

A review of procedures and organization of the SWRL Archives is presented. The Archive Index is appended. This document supersedes TN 4-71-22.

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
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ARCHIVES ORGANIZATION

The SWRL Archives were established in 1967. The Archives contain the written and oral history of the Laboratory from the planning period to the present time. All pertinent documents are organized according to the Archive Index and procedures described herein.

SELECTING MATERIALS FOR ARCHIVES

Not all materials used by the Laboratory are appropriate for the Archives. Print and non-print materials published outside the Laboratory, for example, usually should be submitted to the Library for cataloging. Personal papers, published or unpublished, should not be sent to Archives unless a logical relationship exists between the documents and some aspect of Laboratory evolution. Documents and files appropriate to the Archives are those which reveal or contribute information about the organization, operation, or program of SWRL. Whenever a published document includes all information contained in prior drafts, the prior drafts can be omitted unless there is value in showing the evolving nature of the published document. The following are examples of materials which, if noncurrent, are appropriate for Archives:

1. Reports or studies used to determine the need for new activities.
2. Activity Prospecti, Technical Reports, Memoranda, Notes and Professional Papers.
3. Prototypes, descriptions of prototypes, revisions of prototypes, reports of field tryouts, data, conclusions,

and other information related to phases of products, systems, and program.

4. Memoranda, reports of meetings, reports of trips made for the Laboratory, copies of papers delivered at meetings.
5. Newspaper and magazine clippings of activities about the Laboratory.
6. Charts or descriptions of the projected and actual progress of activities.
7. Non-print documentation such as audio tapes, video tapes, movies, film strips, slides, photographs, and accompanying scripts or other explanatory materials.
8. Marketed products, systems, and materials.

PREPARING MATERIALS FOR ARCHIVES

Each unit has its own procedures for periodically sorting and removing non-current information from active files. CRC heads are asked to determine whether non-current information is relevant or irrelevant. Irrelevant materials should be discarded. Relevant materials should be prepared for submittal to Archives.

Preparation should include placing all related materials together in a single box, folder or storage file. A copy of the SWRL Archival Routing Sheet (Appendix B) should be completed and attached. A description of the contents should include the designated index heading under which the materials will be filed. Single or loose documents should be collected and placed in a separate box or fastened together with descriptors for each item placed on the Routing Sheet. Product, system, or component materials should be kept together and described in detail. Any changes in names that occurred during the

period in which the materials were created should be noted on the Routing Sheet as well as on the materials so that related items are not filed in different places under different names. Although boxes of documents are usually sent to Archives quarterly, library staff will accept Archive materials at any time when accompanied by the Archival Routing Sheet.

ARCHIVE PROCESSING

Materials sent to Archives are placed in steel file cabinets according to the annual Index until such time as the files are completed for that activity or year, whichever occurs first. Whenever a file is complete, the materials are prepared for microfilming. The microfilm process involves removing bindings of printed materials and passing the pages through the microfilm camera. As each individual piece of paper is processed, a number is stamped on the paper and registered on film. This number corresponds to the numerical sequences found on the permanent Archive Index and is used when retrieving the document on the microfilm reader. The hardcopy is then placed in boxes and sent to a federal warehouse for storage. Two copies of the microfilm are produced in cassette form. One microfilm file is placed in a fireproof vault and the other becomes a working copy for Archive use. Since many Laboratory activities related to program are on-going and since files from one year relate to the work of another, it is often the case that files remain open and are not completed until two years have passed. At the end of two years, however, all files

should be completed, closed, and microfilmed. Non-print materials such as photographs, videotapes, movies, slides, etc. cannot be microfilmed. These materials are described and collected along with copies of scripts and related information. The descriptions, indices and scripts are then microfilmed; the original printed materials are sent to Media Services to be placed with at least one master set of films or negatives for storage.

UPDATING THE ARCHIVE INDEX

The Archive Index reflects the dynamic qualities of the Laboratory evolution. By constructing an index based upon past filing requirements, the index is a preliminary means by which documents can be gathered and processed. It is not, however, a closed system. Materials submitted to Archives which do not fit into present indices lead to a search for additional headings and a selection of the most appropriate position within the index for the new information. Usually, the division files will already have appropriate new headings for insertion in the Index. Development of the Index for each year is as follows:

- Present Year: Preliminary Index based upon previous year and anticipation of new requirements.
- Present Year Plus One: More realistic Index based upon actually receiving files and arranging them according to Headings; new headings are added when needed.
- Present Year Plus Two: All files are completed and ready for microfilming. Final Index for year becomes permanent.

ANNUAL INDEX PUBLICATION

The appended Archive Index is used as the primary tool for collecting and correlating archive information for microfilming. During microfilming, the Archive Index is expanded to include additional numerical and descriptive information. Space is provided so that new entries can be made by the archivist and other users regarding the indices. After microfilming materials for a calendar year, the expanded Archive Index is reproduced and placed with the microfilm files. This Index is used as the primary tool for retrieving archive information.

RETRIEVING INFORMATION

The Archive Index provides the means by which cassettes can be located for quick retrieval of information contained in a document series. Not all documents within a series are listed on the Index. It is expected that certain documents will be retrieved more than others. As each previously unidentified document is retrieved, its title will be entered along with the number of the first page for future reference. In this way, the Index will become more complete with each retrieval. This same method also will be used to identify documents that are discovered misplaced; the number and title of the document will be written into the Index at the proper place. Cross-indexing can also be done in this manner. All documents are filed and microfilmed according to heading and year. If it is necessary to retrieve information across years about a specific topic, the Index will indicate all the cassettes and numbers required to accomplish this task.

APPENDIX A

ARCHIVE INDEX

PRECEDING OPERATING CONTRACT

650100000 Enabling Legislation
 Testimony
 1965 Elementary and Secondary Education Act PL 89-10
 Text and Summary
 Title III
 California
 Federal
 Title IV
 California
 Regional Educational Laboratories

650200000 PrePlanning Phase
 Tempe

650300000 Planning Phase
 SDC Sponsorship

650400000 Prospectus
 Original Outline of Proposed Prospectus
 Correspondence on Original Prospectus
 Preliminary Prospectus, June 2, 1965
 SWRL Prospectus, September 22, 1965
 *Correspondence Evaluating Prospectus
 SWRL Prospectus, October 8, 1965
 Prospectus Addenda
 Non-Technical Summary
 Regional Review Conference, May 3, 1966

650500000 Planning Sessions
 Biltmore Meeting, June 26, 1965
 CACER Meetings
 Committee of Seven
 Minutes and Notes
 San Francisco FEL Meeting with USOE

650600000 Reports
 Cost Benefit Analysis Report
 Budget and Financial Report
 Interim Report, February 1965
 Coordination of Proposals by California
 Council for Higher Education
 SWRL Planning Committee
 Joint Powers Agreement

650700000 Development Phase
 Contracts
 Developmental Contracts, February 23, 1966
 Developmental Contract Extension, May 9, 1966

650800000 USOE

- Correspondence
- Policy and Guidelines
- Exhibits Submitted to USOE
- Site Visits

650900000 Personnel

- *Interim Board of Directors
- Program Development Staff
- *Candidates for Director
- Saunders Report
- White Report, April 1967

651000000 Project Development

- Project Development Task Forces
- Development of Project Proposals
- Progress Report - April 8, 1966

651100000 Communications Network

- Associations with other Institutions
 - University of California at Irvine
 - California Jr. College Association
 - Brooks Institute
 - Human Interaction Research Institute
 - Children's Lighthouse
 - University of Southern California (N. Metfessel)
 - SDC - H. Silberman
 - UCLA

SUBSEQUENT TO OPERATING CONTRACT

1966

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660100000 Advisory Council
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660200000 Board of Directors
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660300000 Laboratory Director
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660400000 Management Council
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660500000 USOE
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660600000 Funding
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660700000 Logistic Support
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660800000

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 - *Developmental Period Associates

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660900000

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661000000

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 - Mexican American
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- Information and Language Processing
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 - Language Comprehension

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661100000

General

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661200000

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661600000 Library and Archives

661700000 Media Services
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661800000 Graphic Services

661900000 **Reproduction Services**
662000000 **Training Operations**
662100000 **Publisher Relations**

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662300000 **Programs**
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662400000 **Staff Training**
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662500000 **Workshops**

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670100000	Advisory Council Agenda Correspondence Membership and Bylaws *Minutes
670200000	Board of Directors Agenda Correspondence Membership *Minutes Subcommittees
670300000	Laboratory Director Correspondence Reports
670400000	Management Council Agenda Correspondence Membership Minutes Reports
670500000	USOE Correspondence Policy Site Visits
670600000	Funding Budgets Contracts Proposals Status Reports
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671900000 Reproduction Services

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680500000 USOE
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690400000 Management Council
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712500000 System Configurations

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Training for Instructional Support Systems

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722100000 Publisher Relations
722200000 Information Resource Centers (IRCs)
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Dialect Characteristics Teacher Training
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722700000 Computer Center (Date)

APPENDIX B

APPENDIX B
ARCHIVAL ROUTING SHEET

Division _____

Title/Description _____ Subject Heading _____

The above material has been transferred to the Archives and filed
under the subject headings indicated.

Date: _____

Transferred by: _____

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